985

105-4-2

JUN 3 1987

Y3.N88:10/0728/rev.2

NUREG-0728
Revision 2

COMPLETED
36

NRC Incident Response Plan

U.S. Nuclear Regulatory Commission

Office for Analysis and Evaluation of Operational Data

ORIGINAL

BEST COPY AVAILABLE

NOTICE

Availability of Reference Materials Cited in NRC Publications

Most documents cited in NRC publications will be available from one of the following sources:

1. The NRC Public Document Room, 1717 H Street, N.W.
   Washington, DC 20555
2. The Superintendent of Documents, U.S. Government Printing Office, Post Office Box 37082,
   Washington, DC 20013-7082
3. The National Technical Information Service, Springfield, VA 22161

Although the listing that follows represents the majority of documents cited in NRC publications, it is not intended to be exhaustive.

Referenced documents available for inspection and copying for a fee from the NRC Public Document Room include NRC correspondence and internal NRC memoranda; NRC Office of Inspection and Enforcement bulletins, circulars, information notices, inspection and investigation notices; Licensee Event Reports; vendor reports and correspondence; Commission papers; and applicant and licensee documents and correspondence.

The following documents in the NUREG series are available for purchase from the GPO Sales Program: formal NRC staff and contractor reports, NRC-sponsored conference proceedings, and NRC booklets and brochures. Also available are Regulatory Guides, NRC regulations in the *Code of Federal Regulations*, and *Nuclear Regulatory Commission Issuances*.

Documents available from the National Technical Information Service include NUREG series reports and technical reports prepared by other federal agencies and reports prepared by the Atomic Energy Commission, forerunner agency to the Nuclear Regulatory Commission.

Documents available from public and special technical libraries include all open literature items, such as books, journal and periodical articles, and transactions. *Federal Register* notices, federal and state legislation, and congressional reports can usually be obtained from these libraries.

Documents such as theses, dissertations, foreign reports and translations, and non-NRC conference proceedings are available for purchase from the organization sponsoring the publication cited.

Single copies of NRC draft reports are available free, to the extent of supply, upon written request to the Division of Technical Information and Document Control, U.S. Nuclear Regulatory Commission, Washington, DC 20555.

Copies of industry codes and standards used in a substantive manner in the NRC regulatory process are maintained at the NRC Library, 7920 Norfolk Avenue, Bethesda, Maryland, and are available there for reference use by the public. Codes and standards are usually copyrighted and may be purchased from the originating organization or, if they are American National Standards, from the American National Standards Institute, 1430 Broadway, New York, NY 10018.

BEST COPY AVAILABLE

NUREG-0728
Revision 2

NRC Incident Response Plan

Manuscript Completed: May 1987
Date Published: June 1987

Office for Analysis and Evaluation of Operational Data
U.S. Nuclear Regulatory Commission
Washington, DC 20555

BEST COPY AVAILABLE

BLANK PAGE

ABSTRACT

The Nuclear Regulatory Commission (NRC) regulates civilian nuclear activities to protect the public health and safety and to preserve environmental quality. An Incident Response Plan had been developed and has now been revised to reflect current Commission policy. NUREG-0728, Rev. 2 assigns responsibilities for responding to any potentially threatening incident involving NRC licensed activities and for assuring that the NRC will fulfill its statutory mission. This report has also been reproduced for staff use as NRC Manual Chapter 0502.

BEST COPY AVAILABLE

BLANK PAGE

CONTENTS

		Page
1.	INTRODUCTION	1
	1.1 Statutory Responsibility	1
	1.2 Parallel Responsibilities	1
	1.3 Purposes and Scope of the Plan	2
2.	EMERGENCY RESPONSE ORGANIZATION AND OPERATIONS	2
	2.1 Licensee's Responsibilities During an Emergency	4
	2.2 NRC's Responsibilities During An Emergency	4
	2.3 State and Local Government Responsibilities	6
	2.4 Response Modes	6
	2.5 Response Management	11
	2.6 Principal Participants	15
	2.7 Response Functions	16
3.	RESPONSIBILITIES	19
	3.1 Summary of Interfaces with Other Organizations	19
4.	REFERENCES	20
5.	LIST OF ACRONYMS	21

LIST OF FIGURES

1.	Relationship of Plan, Procedures, and Resources	3
2.	Initial Activation Management	12
3.	Expanded Activation Management	13
4.	Headquarters Internal Organization, Initial Activation	14

LIST OF TABLES

1.	Typical Relationship between NRC and Licensee Response Modes	9
2.	Description and Purpose of Emergency Classes of NUREG-0654, Rev. 1	10
3.	NRC Interfaces with Other Organizations (except licensee)	22

BEST COPY AVAILABLE

INTRODUCTION

1.1 Statutory Responsibility

The U.S. Nuclear Regulatory Commission (NRC) regulates nuclear activities, through licensing and other means, to protect the health and safety of the public and to preserve environmental quality. In the event of an incident involving NRC-licensed activities that has the potential to threaten the public or the environment, the NRC must be prepared to respond quickly. This Incident Response Plan assigns individual and group responsibilities which collectively assure that NRC will fulfill its statutory responsibility.

1.2 Parallel Responsibilities

During an incident at a licensed facility, the licensee is at all times responsible for mitigating the consequences of the incident. The licensee is also responsible for providing appropriate protective action recommendations to State/local officials.

The underlying foundation for all Federal response activities is coordination with and support for State and local government and licensee response efforts. As part of its role as Federal technical coordinator, i.e., Cognizant Federal Agency (CFA) during an emergency, the NRC is responsible for providing (to the Governors of affected states) Federal recommendations for actions to protect the public.

The licensee must be prepared to perform essential technical activities to protect the public in the event of an incident at a licensed facility. The NRC must be ready to support and assist the licensee by (1) monitoring the incident to be ready to advise the licensee based on NRC's assessment of the plant situation, and by (2) locating and obtaining needed expertise and equipment. Both the NRC and the licensee must be prepared to cooperate in all their activities with local, State, and Federal agencies that have related responsibilities.

The Federal Emergency Management Agency (FEMA) has published the Federal Radiological Emergency Response Plan (FRERP) for coordinating all Federal activities in response to a radiological emergency at a commercial nuclear power plant (Ref. 1). The plan defines the responsibilities of each Federal organization with a role in such emergencies, including the responsibility of the NRC for coordinating all Federal support for licensee activities and all Federal technical activities off site. FEMA has the complementary responsibility for coordinating all offsite nontechnical activities of Federal organizations. The NRC also has signed a Memorandum of Understanding with the Federal Bureau of Investigation (FBI) for incidents involving possible terrorist activity or other safeguards violations and another with the Department of Transportation (DOT) for transportation accidents. To assure operational consistency between this NRC Incident Response Plan and the planned radiological activities of several other agencies, NRC participated in preparing the Federal Radiological Monitoring and Assessment Plan (FRMAP), which is included in the FRERP.

BEST COPY AVAILABLE

1.3 Purposes and Scope of the Plan

This Incident Response Plan governs NRC response to incidents involving NRC licensees as defined by the Atomic Energy Act of 1954.

The plan is intended to serve the following major purposes:

(1) Guide NRC managers who must assure that all appropriate tasks are under way at any stage of a response.

(2) Remind each NRC participant of his or her responsibilities (either as an individual or as a team member) throughout a response.

(3) Identify NRC interrelationships with other organizations.

(4) Serve as a training aid to maintain personnel readiness.

(5) Emphasize the primary responsibility of the licensee in responding to an incident.

The Incident Response Plan describes the functions and kinds of decisions that constitute an NRC response. Taken as a whole, the plan provides an overview of NRC functions before and during an incident. The responsibilities assigned by the plan are exercised through a set of implementing procedures (NUREG-0845, Agency Procedures for the NRC Incident Response Plan [Ref. 5] and corresponding Headquarters and Regional Supplements) that delineate the manner in which each function will be performed (Fig. 1). The implementing procedures (such as call lists) are not included in this plan; they are operational tools that are subject to more frequent change than the plan and so are contained in separate documents.

The need for resources is dictated by the implementing procedures. Therefore, this plan and its implementing procedures will be used as the basis for allocating resources among the functions.

2. EMERGENCY RESPONSE ORGANIZATION AND OPERATIONS

An effective emergency response demands not only a simplified management concept but also a clear organization of task responsibilities. This plan is intended to do the following:

(1) Provide for definite decisions to increase or decrease the scope of the NRC response so that all participants will be aware of the correct response mode, and of their corresponding responsibilities, at all times.

(2) Identify clear responsibilities for advising offsite authorities, advising the licensee, directing the licensee, and making other decisions.

(3) Provide for informing NRC personnel and other organizations about NRC response actions and about any delegation of authority particularly when the focus of the response is shifted from Headquarters to the Director of Site Operations (DSO).

BEST COPY AVAILABLE

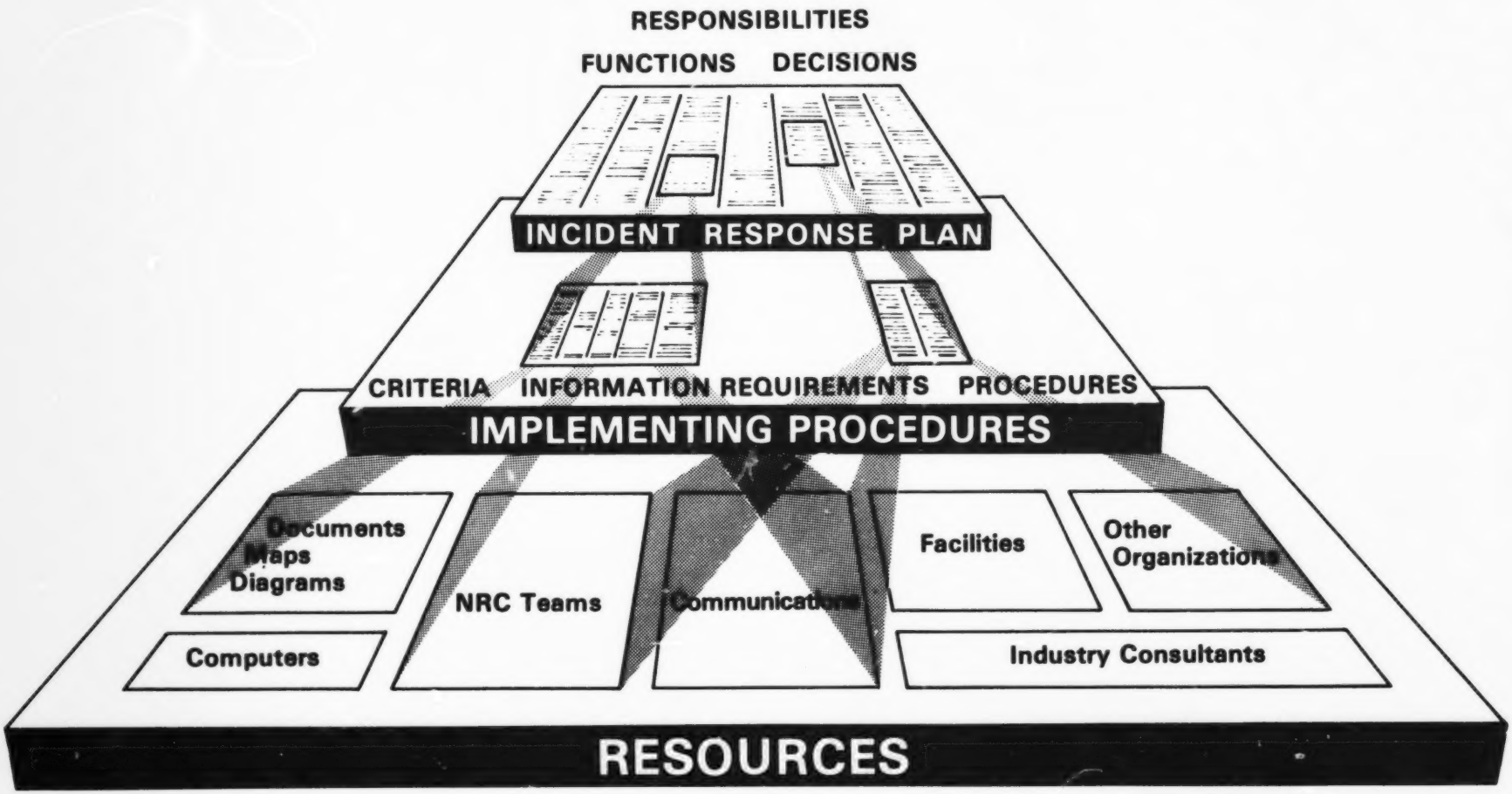


FIGURE 1

RELATIONSHIP OF PLAN, PROCEDURES, AND RESOURCES

BEST COPY AVAILABLE

2.1 Licensee's Responsibilities During an Emergency

2.1.1 Limiting the Consequences. The licensee has the immediate and primary continuing responsibility for limiting the consequences of an incident at a nuclear power reactor. Limiting the consequences to public health and safety should take clear precedence over limiting financial loss or adverse publicity. During a radiological emergency the licensee should take whatever action is deemed necessary to limit the consequences to public health and safety, even if that action violates the NRC license technical specifications. If time does not permit in an emergency, notification of and consultation with NRC is not required prior to the licensee taking action he deems appropriate.

2.1.2 Recommending Protective Actions The licensee is responsible for keeping local, State and Federal authorities (as specified in the approved plant emergency plan) informed on the status of the emergency as it relates to protection of the public health and safety. The licensee should recommend to local, State and Federal authorities specific protective actions to limit the danger to the public, including evacuation.

2.1.3 Notifying NRC. Licensee notification to NRC must be in compliance with 10 CFR Part 50.72, "Notification of Significant Events."

2.2 NRC's Responsibilities During An Emergency

2.2.1 General. NRC staff at the Operations Center is limited in its ability to provide detailed recommendations to plant personnel or overrule plant managers at the site. It is the Commission's policy that the emergency should be managed from the site. The Director (this and all future reference to Director will mean the NRC Chairman or his or her designee) may transfer authority for managing the NRC's emergency response efforts to a senior onsite NRC representative, Director of Site Operations (DSO), when the Director is confident that the onsite NRC representative is prepared to receive the authority and if the Director deems it appropriate. The NRC Regional Administrator or other senior manager, upon arrival on site, will contact the NRC HQ Operations Center for a status report, talk to licensee management to assess the situation from their perspective, assess the status of nonlicensee activities, deploy his site team, contact the resident inspector and then again report to the Director. Transfer of authority to the DSO will be discussed in Section 2.5.

Once the NRC response is in an Activation Mode and until the Regional Administrator arrives at the site (normally expected to be from 2-6 hours after initial notification), and is designated Director of Site Operations (DSO), the NRC Operations Center will be the primary location where this agency will monitor and evaluate licensee actions. During that time the normal response roles for the NRC Operations Center will be to monitor, inform, and, upon request, advise licensees and other local, State and Federal authorities.

Although the Director has the authority to issue orders and directives to the licensee, this authority need not be exercised by the Director but may be delegated to the DSO after one is established. The reason for this is that there may be more complete information available to the DSO at the site, and therefore there may be a firmer basis for such orders or directives.

BEST COPY AVAILABLE

In any incident, NRC may exercise more than one role, sometimes concurrently, as the incident progresses. However, it is important that all participants in an incident (NRC and others) be made fully aware of changes in the NRC role. These major roles are presented in ascending order of responsibility. Role alternatives are not discreet or mutually exclusive, but instead are successive increments in which one is added to another.

2.2.2 Monitoring-Only Role. In this role, NRC response is essentially passive and confined to information acquisition and assessment. The licensee, in conjunction with State and local authorities, has primary responsibility for dealing with the incident. NRC keeps itself apprised of both the situation and the status of response actions, based on data supplied by the licensee as well as any data obtained independent of the licensee via a data system, reported by NRC personnel on site, or provided by offsite authorities. NRC also maintains cognizance of offsite conditions and activities related to the incident. Additional ad hoc information may be requested by NRC, as deemed necessary. Data from all sources is collated, verified, analyzed, and evaluated by NRC to arrive at an independent estimate of the situation and of the adequacy of the operational protective measures being recommended or implemented. NRC serves as the focal point at the Federal level for providing authoritative technical information on the incident related to the onsite situation and licensee offsite activities.

The monitor role is exercised by both NRC Headquarters and the DSO throughout the course of an incident. Upon transfer of authority to the DSO on site, however, the DSO becomes the primary contact with the licensee, State and local authorities.

2.2.3 Inform Role. Based on the monitoring role, the NRC may find it appropriate to inform affected officials, and the public about the status of the emergency. This role would be exercised only when it is clear that responsible parties are not aware of pertinent information or when information is specifically requested by other interested parties (e.g., news media, Congress, White House). Primary interaction with the news media will transfer from the Headquarters Executive Team to the DSO when the DSO assumes control.

2.2.4 Advisory Role. The NRC role in this case is expanded to include exerting influence on the response process, using information gathered by continued monitoring. Primary responsibility for coping with the incident, however, still resides with the licensee. NRC gives advisory support, to assist in diagnosing the situation, isolating critical problems, and determining what remedial courses of action and additional precautionary measures are indicated. Advice is made available to the licensee, State and local authorities. and to other Federal agencies concerned.

In coordination with FEMA, NRC will advise State and local authorities on actions to mitigate the consequences of the incident and for protecting the public. This advice may confirm the licensee's recommendation or provide additional recommendations.

BEST COPY AVAILABLE

In addition, in selected cases the NRC may, upon request, assist the licensee by obtaining onsite and external support relating directly to onsite response needs. In this capacity, NRC may serve as an intermediary for the licensee and various other participants involved.

2.2.5 Limited Direction Role. In addition to monitoring and advisory activities, in some unusual and very rare situations, the NRC could find it necessary to intervene in a limited fashion to direct the licensee's onsite response. It is not expected that NRC will be required to assume this role, but plans must be made for such a contingency. In such an unlikely event the NRC would issue formal orders to the licensee to take certain measures and then monitor implementation of the actions ordered. In this role, the licensee continues to make other key operational decisions and to operate and manage the facility with licensee personnel. NRC advice and direction would be channeled to licensee management. Although the Director has the authority to issue orders and directives to the licensee, this authority may not normally be exercised by the Director at headquarters but may be delegated to the DSO after one is established. The reason for this is that there may be more complete information available to the DSO at the site, and thus there may be a firmer basis for such orders or directives.

2.3 State and Local Government Responsibilities

While the licensee has the primary role in mitigating incident consequences, the State and local authorities have ultimate responsibility for assuring the protection of the public from such consequences offsite. The licensee, the NRC, and FEMA will assist the State and local authorities in assuring protection of the public.

2.4 Response Modes

NRC incident response operations are divided in this plan into five distinct modes dependent upon the licensee event classification and an independent NRC perception of relative severity or uncertainty of accident conditions:

(1) NORMAL

This mode includes all activities designed to maintain readiness; it continues through the initial discussion of any call. Headquarters and Regional personnel jointly assess the initial information, and the senior Headquarters official along with his regional counterpart jointly determine NRC actions in the Normal response mode. If so instructed, the Headquarters Operations Officer establishes and maintains a telephone conference linking the person reporting a problem with the Headquarters and Regional personnel responding to it. Any number of specialists may be consulted, but the Operations Center is not formally activated.

Transition to STANDBY:

The NRC Standby response is initiated by a decision of the Regional Administrator in consultation with and Executive Team Member (or if neither is available, the Emergency

BEST COPY AVAILABLE

Officer) when the incident is judged to be sufficiently uncertain or complex that there is a need to use the facilities of the Operations Center. The NRC response will generally go on Standby, whenever a licensee declares an Alert at a site. (See Appendix 1 of NUREG-0654 Rev. 1 [Ref. 3].)

(2) STANDBY

The primary Regional Office will appropriately staff its Incident Response Center. The Headquarters Operations Center will be staffed by a Standby Team and will be lead by an Executive Team member or designee. Each location will evaluate the available information, make appropriate notifications and prepare for rapid activation should it become necessary. The Regional Administrator will lead the NRC response in this mode, except under the following circumstances, in which case an Executive Team member will lead:

- The Regional Administrator is not available.
- The Regional Administrator requests NRC Headquarters to take the lead.
- An Executive Team member determines that the NRC Headquarters should have the lead in that particular situation.

If available, the NRC Resident Inspector will go to the facility to assist in the assessment of the situation. Licensees will designate someone to provide data requested by NRC.

Transition to INITIAL ACTIVATION:

The Regional Administrator will generally provide a recommendation to activate to an ET member who makes the decision. The NRC response system will activate upon either of the following actions:

- Licensee declaration of a reactor Site Area or General Emergency that is not an obvious overclassification. (See Appendix 1 of NUREG-0654, Rev. 1 [Ref. 3].)
- Decision by an Executive Team member (see page 11) to activate the NRC response for any other reason. This may occur before declaration of a Site Area or General Emergency by the licensee.

(3) INITIAL ACTIVATION

Response teams report to the Operations Center and other duty stations. The Incident Response Center (IRC) of the affected Regional Office staffing is appropriately adjusted when a designated Site Team is dispatched under the leadership of the Regional Administrator. Other Regional Offices are alerted. The focus of NRC response operations is at Headquarters.

BEST COPY AVAILABLE

Transition event to EXPANDED ACTIVATION:

The NRC response enters an Expanded Activation mode whenever, after receiving a report from the Regional Administrator or other senior NRC official from the site, the Director (i.e., the NRC Chairman or his designee) decides to augment the response. The Regional Administrator or other qualified senior NRC official on site will be designated as the NRC Director of Site Operations (DSO) and the Director will delegate specific authority to the DSO.

(4) EXPANDED ACTIVATION

The focus of NRC response operations is at the site although Headquarters will retain any authority not specifically delegated to the DSO. The Executive Team or a member of the Executive Team designated by the Director draws on all Regional and Headquarters personnel to provide support to the NRC Director of Site Operations. The DSO will be the primary spokesman for the NRC.

Transition to DEACTIVATING

The NRC response enters the deactivating mode when the DSO, after consultation with the Director, so decides. The NRC response deactivates from Initial or Expanded Activation when the Director so decides, usually on the basis of an Executive Team or DSO recommendation.

(5) DEACTIVATING

Response operations during the early part of this mode are similar to those during the Standby mode, except that a Site Team may remain active. In addition, tapes, logs, and other records of the incident are assembled and catalogued for review. Responsibilities for reviews and investigations are assigned. Responsibilities for recovery operations will also be assigned, and some recovery operations will usually continue as the NRC response returns to normal.

Table 1 relates the NRC response modes to those defined for licenses in Appendix 1 of NUREG-0654, Rev. 1. As noted in the table, licensees report many events under the requirements of 10 CFR 50.72 or 10 CFR 73.71 (Ref. 2) which do not meet the thresholds defined in NUREG-0654, Rev. 1, for "Notification of an Unusual Event." Those reports, which this plan denotes as "Early Notification," may cause the NRC response to go on Standby under some conditions. When the licensee reports the Notification of Unusual Event as defined in Appendix 1 of NUREG-0654, Rev. 1, NRC may remain in Normal Mode, go on Standby or may activate. When NRC enters its Standby mode, preparations are made to activate quickly, if necessary. Activation of the NRC response will be initiated by an ET member upon notification of conditions which cause the licensee to declare a Site Area or General Emergency.

BEST COPY AVAILABLE

Table 1 Typical Relationship Between NRC and Licensee Response Modes

NRC Mode	LICENSEE MODE				
	*Early Notification	Notification of Unusual Event	Alert	Site Area Emergency	General Emergency
Normal	X	X			
Standby	X	X	X		
Initial or Expanded Activation		X	X	X	X

*Licensee event required to be reported to NRC by 10 CFR 50.72 or 10 CFR 73.71, but not categorized in NUREG-0654, rev. 1.

BEST COPY AVAILABLE

Table 2 Description and Purpose of Emergency Classes of NUREG-0654, Rev. 1

CLASS			
NOTIFICATION OF UNUSUAL EVENT	ALERT	SITE AREA EMERGENCY	GENERAL EMERGENCY
Class Description	Class Description	Class Description	Class Description
Unusual events are in process or have occurred which indicate a potential degradation of the level of safety of the plant. No releases of radioactive material requiring offsite response or monitoring are expected unless further degradation of safety systems occurs.	Events are in process or have occurred which involve an actual or potential substantial degradation of the level of safety of the plant. Any releases expected to be limited to small fractions of the EPA Protective Action Guideline exposure levels.	Events are in process or have occurred which involve actual or likely major failures of plant functions needed for protection of the public. Any releases not expected to exceed EPA Protective Action Guideline exposure levels except near site boundary.	Events are in process or have occurred which involve actual or imminent substantial core degradation or melting with potential for loss of containment integrity. Releases can be reasonably expected to exceed EPA Protective Action Guideline exposure levels offsite for more than the immediate site area.
Purpose	Purpose	Purpose	Purpose
Purpose of offsite notification is to (1) assure that the first step in any response later found to be necessary has been carried out, (2) bring the operating staff to a state of readiness, and (3) provide systematic handling of unusual events information and decisionmaking.	Purpose of offsite alert is to (1) assure that emergency personnel are readily available to respond if situation becomes more serious or to perform confirmatory radiation monitoring if required, and (2) provide offsite authorities current status information.	Purpose of the site area emergency declaration is to (1) assure that response centers are manned, (2) assure that monitoring teams are dispatched, (3) assure that personnel required for evacuation* of near site areas are at duty stations if situation becomes more serious, (4) provide consultation with offsite authorities, and (5) provide updates for the public through offsite authorities.	Purpose of the general emergency declaration is to (1) initiate predetermined protective actions for the public, (2) provide continuous assessment of information from licensee and offsite organization measurements (3) initiate additional measurements as indicated by actual or potential releases, (4) provide consultation with offsite authorities and (5) provide updates for the public through offsite authorities.

*Note: It is expected that if appropriate personnel are available to respond to the need to evacuate, there will be appropriate personnel for other protective actions.

BEST COPY AVAILABLE

2.5 Response Management

The NRC response need not escalate through all modes, but may be ordered into activation immediately. There will nearly always be two modes of activation, however: (1) Initial (when activities are directed from Headquarters), and (2) Expanded (when most or all activities are directed from the site). The transition occurs when the Director (i.e., the Chairman of the Commission or designated alternate) shifts authority to the NRC Director of Site Operations. Figures 2 and 3 show the management concept before and after the appointment. The concept permits the management focus to shift from headquarters to the site without disrupting response operations.

The Chairman of the Commission is the senior NRC authority for all aspects of a response and, in carrying out his or her responsibility for directing NRC activities, may choose to make, modify, or set aside any decision. During an emergency, the Chairman will become the "Director" of all NRC response activities and personnel, a title meant to imply that the Chairman has not only the authority but also the responsibility for taking direct charge of any particular activity should the need arise.

Certain authorities may be predelegated by the Chairman to the "Deputy Director" upon activation of the Operations Center. The Deputy Director, who normally would be the Executive Director for Operations (EDO) or another member of the Executive Team (ET), will exercise the delegated authorities unless the Chairman specifically directs otherwise. Other members of the ET are:

- Director of the Office for Analysis and Evaluation of Operational Data
- Director of the Office of Nuclear Reactor Regulation
- Director of the Office of Nuclear Material Safety and Safeguards
- Director of the Office of Nuclear Regulatory Research

Together, the Director and Deputy Director assure that preplanned actions are under way during Initial Activation; they also identify other necessary actions unique to the particular incident. Headquarters and Regional teams carry out those actions. The Director (i.e., the Chairman) may also call on the other Commissioners to advise him and to perform key missions.

The Director will normally transfer any or all of the following authorities to an NRC Director of Site Operations after a qualified official (usually the cognizant Regional Administrator) arrives at the site with his site team, obtains a briefing from licensee management, assesses the situation and reports back to the Director that he or she is prepared to assume the following authorities.

(1) Authority to recommend actions to the licensee.

(2) Authority to recommend offsite actions, where necessary, either confirming the licensee's recommendation or providing additional NRC recommendations.

(3) Authority to direct the licensee to take specified actions when such actions are necessary to protect the public from imminent danger.

BEST COPY AVAILABLE

INITIAL ACTIVATION MANAGEMENT

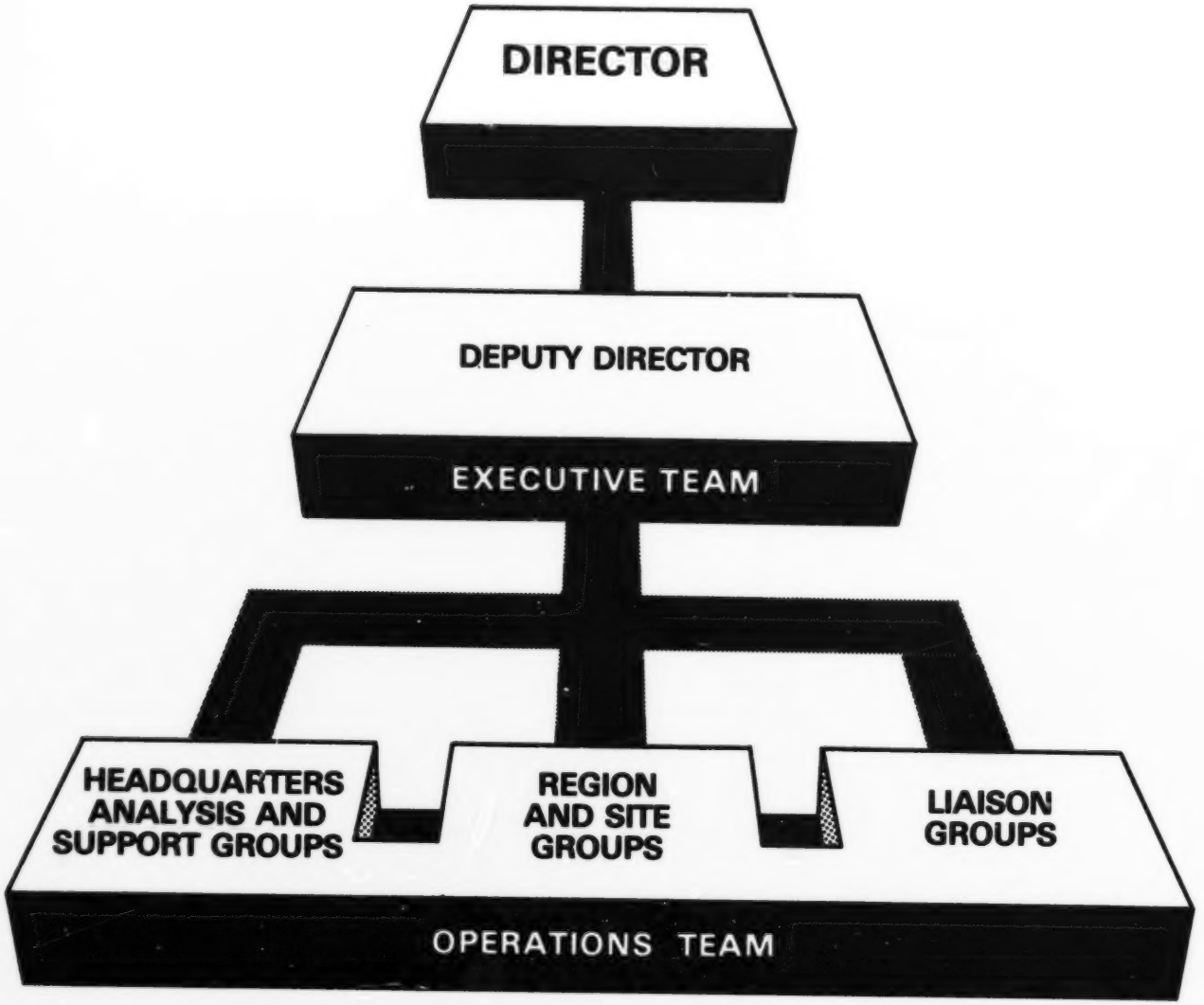
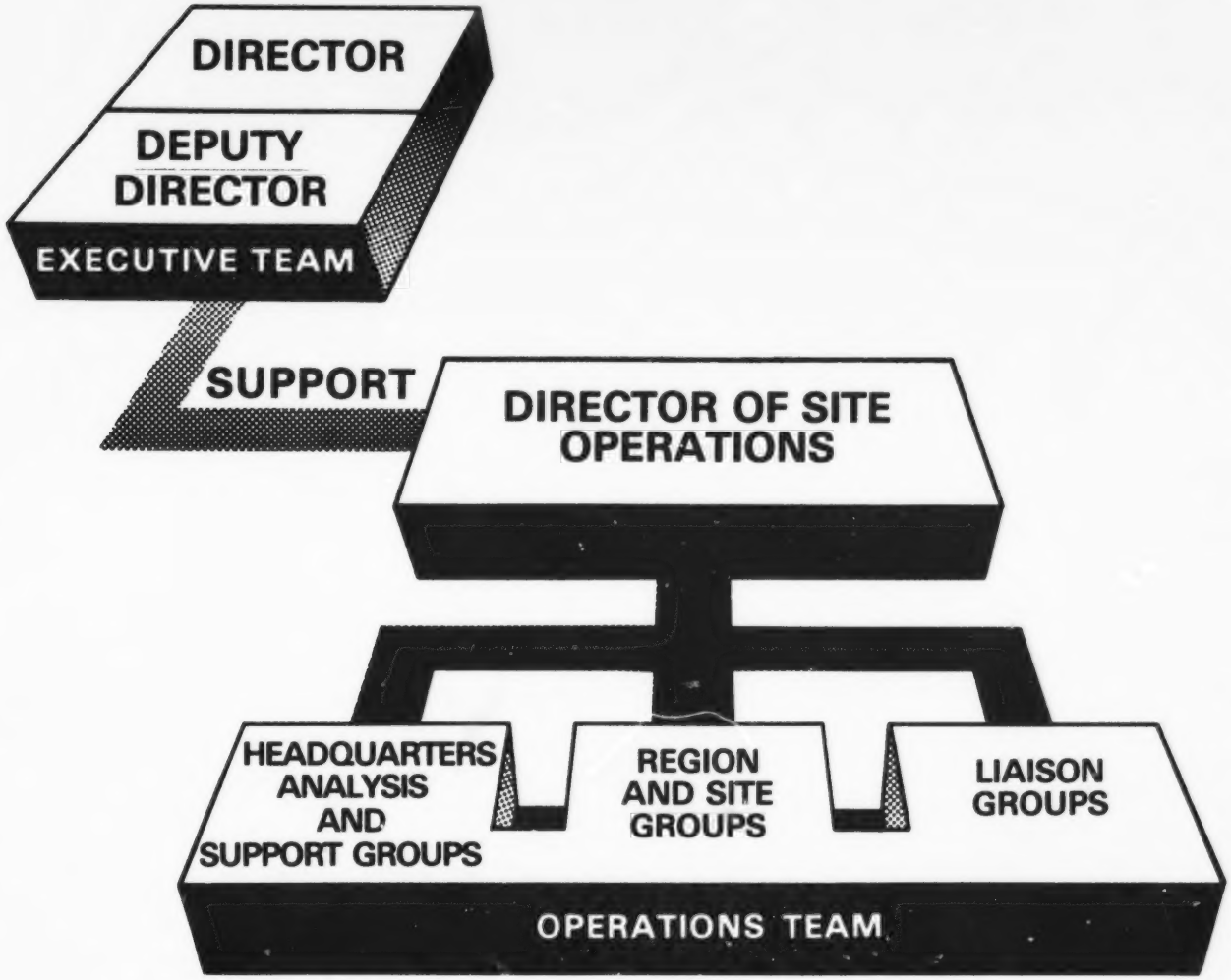


FIGURE 2

BEST COPY AVAILABLE

EXPANDED ACTIVATION MANAGEMENT



BEST COPY AVAILABLE

FIGURE 3

HEADQUARTERS INTERNAL ORGANIZATION
INITIAL ACTIVATION

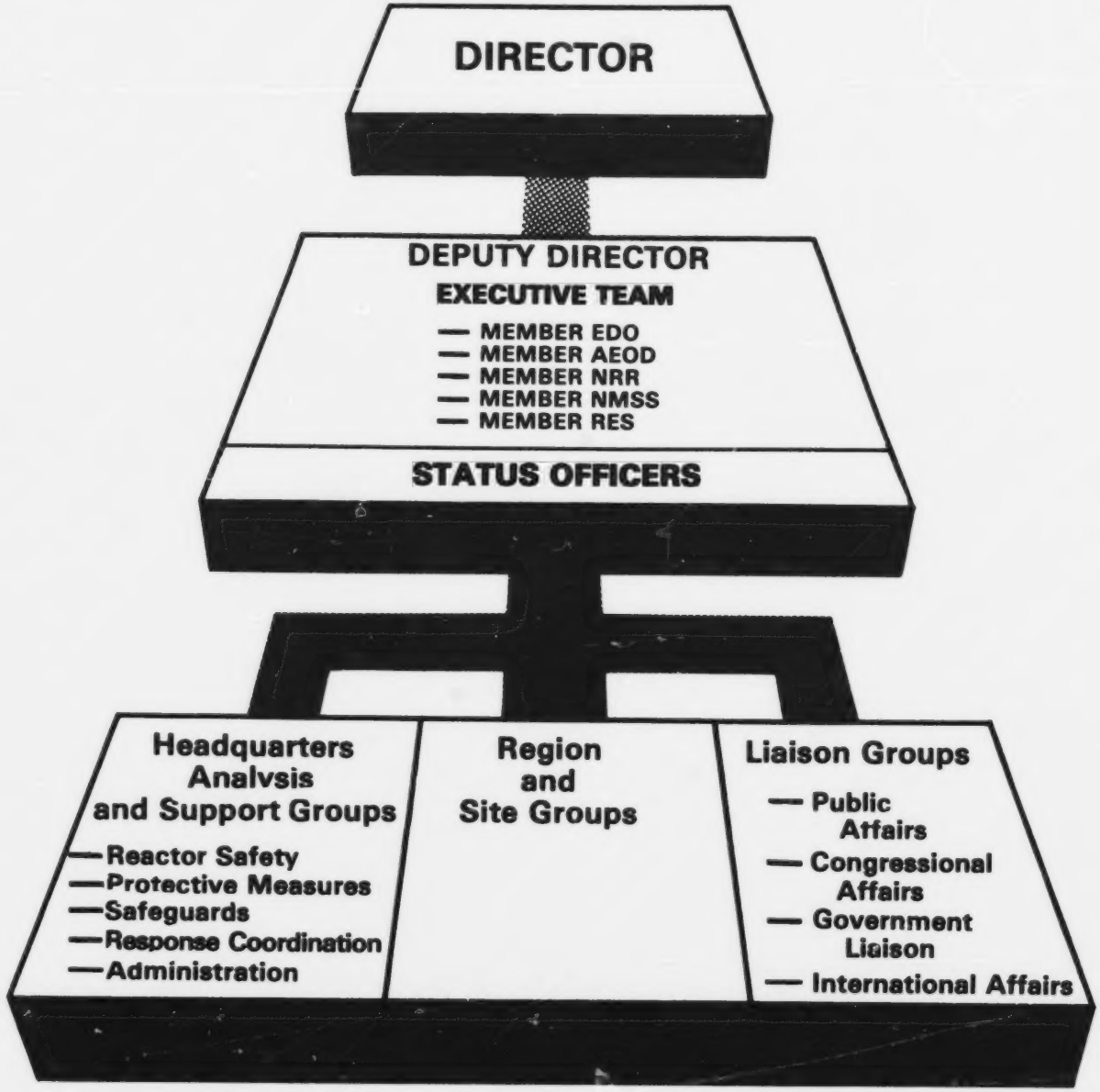


Figure 4

BEST COPY AVAILABLE

Other officials and organizations will be immediately informed of the appointment and delegated authority. The Director of Site Operations will assume supervision of all NRC personnel at the site, will represent NRC in interactions with other agencies and the news media, and will decide what response actions must be taken, consistent with the delegated authority. The DSO may obtain direct support from any element of NRC. If the Director of Site Operations is uncertain how best to obtain support, the Executive Team or a designated member of the Executive Team will assist and will assign any agency personnel to such tasks as are needed, as indicated in Figure 3.

2.6 Principal Participants

NRC response personnel are denoted as follows in this plan (see Figure 4):

(1) Executive Team

Director (Chairman of the Commission)
Deputy Director (appointed by the Director in Initial activation, usually EDO)
Members (Directors of AEOD, NRR, RES and NMSS)

(2) Other executives

Other Commissioners

(3) Site and regional participants

Director, of Site Operations (appointed by the Director after onsite evaluation by senior official, usually a Regional Administrator)
Regional Administrators (those not appointed Director of Site Operations)
Site Team (except Resident Inspector)
Resident Inspector
Regional Offices (personnel not at the site [Base Team])
Regional Duty Officer
Recovery Team

(4) Headquarters analysis and support participants

Headquarters Operations Officer
AEOD management
Emergency Officer
Standby Team (designated at beginning of Standby mode)
Deactivating Team (designated at beginning of Deactivating mode)
Protective Measures Analysis Team
Reactor Safety Analysis Team
Safeguards Analysis Team
Status Officer(s)
Response Coordination Team
Administrative Support Team

BEST COPY AVAILABLE

(5) Liaison

Government Liaison
Congressional Affairs
Public Affairs (Headquarters and Region)
International Affairs

Other groups and organizations with which the NRC expects to interact directly (but with varying frequency) during an incident are:

Executive Office of the President ("White House")
Federal Emergency Management Agency (FEMA)
Department of Energy (DOE)
Environmental Protection Agency (EPA)
Department of Health and Human Services (HHS)
Federal Bureau of Investigation (FBI)
Department of State (DOS)
Department of Transportation (DOT)
Congress
State Executive (Governor)
State radiological and logistical personnel
State emergency services
Local emergency services (Civil Defense)
Licensee management (at corporate headquarters, at the onsite Technical Support Center, and at the offsite Emergency Operations Facility)
Licensee operating personnel
Public and the media
Plant architects and engineers, construction contractors, nuclear steam system suppliers, and other vendors
Nuclear industry advisory groups
Consultants
Intervenor groups

The NRC will interact with other organizations through one of the listed groups.

2.7 Response Functions

The functions described below are those that must be performed to some degree in preparation for, and response to, any incident of sufficient severity. These functions are defined in further detail in NUREG-0845 (Ref. 5).

(1) Maintain response capability. This function includes those tasks required to maintain readiness, such as training personnel and maintaining communications systems.

(2) Man emergency communications systems. This function includes those tasks that assure proper receipt and handling of all communications during any response mode.

BEST COPY AVAILABLE

(3) Evaluate and categorize initial information. This function includes those tasks that culminate in decisions as to the severity of an event and the extent of the initial NRC response.

(4) Decide to escalate the NRC response. This function includes those tasks which address responsibilities both for recommending and for deciding on a need for greater NRC participation at any time after the initial response decision.

(5) Enter Standby Mode. This function includes those tasks that must be completed as soon as possible upon transition to the Standby Mode.

(6) Enter Initial Activation Mode. This function includes those tasks that must be completed as soon as possible upon transition to the Initial Activation Mode.

(7) Enter Expanded Activation Mode. This function includes those tasks that must be completed as soon as possible upon transition to the Expanded Activation Mode.

(8) Enter Deactivating Mode. This function includes those tasks that must be completed as soon as possible upon transition to the Deactivating Mode.

(9) Evaluate incident and plant status. This function includes those tasks needed to assure that response personnel have a complete and accurate overview of the evolution and status of the problem at any time.

(10) Evaluate licensee actions. This function includes those tasks that provide an overview of the licensee's actions with respect to mitigating the actual or potential consequences of an incident and with respect to the adequacy of licensee recommendations to offsite authorities for protective actions for the public.

(11) Project incident consequences and plant status. This function includes those tasks needed to develop timely projections of the likely future course of an incident.

(12) Advise, assist or direct licensee

(a) Advise. This function includes those tasks needed to assure that advice is stated clearly, developed from the best information and projections, and transmitted accurately.

(b) Assist. This function also includes those tasks needed to assure that the licensee is provided the expertise, equipment, and authority to take such action as is necessary to mitigate the consequences of the incident.

BEST COPY AVAILABLE

(c) Direct. This function also includes those tasks needed to assure that sole authority to issue orders in an emergency is delegated from the Director to the DSO, in the event such action is necessary to protect the public from imminent danger, and that the orders are based on accurate information, clearly stated, and accurately conveyed by the DSO.

(13) Request other-agency support. This function includes those tasks that clarify responsibilities among participating agencies for identifying needs, requesting support, and resolving conflicts in priorities or actions.

(14) Maintain liaison with the Congress, White House, other Federal, State, International and local agencies. This function includes those tasks that identify primary liaison responsibilities for helping to assure that information exchange is adequate, accurate, timely, and consistent.

(15) Inform public and monitor public information. This function includes those tasks needed to assure first, that NRC information releases are complete, accurate, and consistent, available to all response personnel, coordinated with other response organizations and accurately relayed to the public; and second, that public reactions are brought to the attention of NRC managers.

(16) Recommend protective actions for public. This function includes those tasks that culminate in NRC decisions to endorse licensee recommendations for protective action or to recommend additional offsite actions to protect the public health and safety, based on technical actions and NRC projections of plant status. Implementation of protective actions in response to a fast moving severe accident (General Emergency) should not await NRC approval or review.

(17) Provide administrative and logistical support. This function includes those tasks needed to assure the availability of adequate transportation, housing, information resources, and any other support needs of NRC response personnel that may be identified during an incident.

(18) Decide to deescalate. This function includes those tasks that provide for orderly reduction of the NRC response.

(19) Review, investigate, and document response actions. This function includes those tasks that formalize the responsibilities for assuring complete and timely documentary followup to an incident.

BEST COPY AVAILABLE

(20) Recover. This function includes those tasks that formalize the responsibilities for assuring appropriate technical followup to an incident.

3. RESPONSIBILITIES

The Office for Analysis and Evaluation of Operational Data is responsible for developing and maintaining an effective NRC response capability. That office will maintain and revise this plan and its implementing procedures and will continue to assure readiness through a comprehensive assessment, training and exercise program.

Individual and team responsibilities for incident response tasks and decisions are presented in agency procedures for the NRC Incident Response Plan, that are NUREG-0845 (Ref. 5). These procedures are designed primarily to aid NRC managers in assuring that all appropriate response activities are under way during any of the five response modes. It is also to be used by all response personnel to define individual or team responsibilities. The procedures permit users to identify readily:

- functions that should be under way in a particular response mode;
- responsibilities and authorities for accomplishing those functions;
- responsibilities for key interfaces with other organizations.

The task assignments are intended to assure that each function is properly performed without unnecessary duplication of effort.

3.1 Summary of Interfaces With Other Organizations

The most frequent interface for the NRC is with the licensee. The NRC depends on the licensee for initial notification of any incident in accordance with guidelines set forth in 10 CFR 50.72, NUREG-0654 (Rev. 1.) and 10 CFR Part 73.71(c). Direct telephone lines (Emergency Notification System [ENS]) have been installed to facilitate the notification call. With the first decision by NRC Headquarters or a Regional Office that a report cannot be handled routinely, a continuous communications link with the licensee may be established over the direct lines to be maintained for as long as necessary. Additional telephone conferences may also be established (including those using the Health Physics Network [HPN]).

Other than electronic links, there are three major facets to the interface with the licensee:

(1) Essential facility design data for each nuclear power reactor will be maintained at the Headquarters Operations Center and Regional Incident Response Center.

(2) Resident Inspectors at each site provide independent assessments of the early stages of an incident prior to arrival of the NRC site team from one or more of the Regional Offices.

BEST COPY AVAILABLE

(3) An onsite Technical Support Center (TSC) and an offsite Emergency Operations Facility (EOF) will provide for effective communication without crowding the reactor control room (Ref. 4). Upon transfer of NRC authority to a Director of Site Operations, face-to-face communication at those facilities is expected to become the dominant means of exchanging information and of interacting with the licensee.

The interface with offsite authorities (local and State government) is also extensive. These offsite authorities (the Governor or his designated representative) have responsibilities for deciding what protective actions will be taken for the public. It is the responsibility of local government to assure that the appropriate actions are carried out. A major emphasis in the NRC response to emergencies will be the ability and capability to provide offsite authorities with an evaluation of license recommendations and provide a clear and concise recommendation for protective actions that represents the position of the Federal government. These recommendations will normally be presented to offsite authorities in coordination with FEMA. In order to effectively perform this task, NRC will establish communication channels primarily with various State officials (e.g., the Governor or his office, emergency management agencies and radiological health organizations).

NRC interface with other organizations is less extensive. In general, NRC personnel at Headquarters will deal with the Headquarters personnel of other agencies; NRC site personnel will deal with all others. NRC will also work with most other organizations through the Federal Emergency Management Agency (FEMA), whenever possible (Ref. 1). NRC must also work directly with certain other organizations, however, to exchange radiological data and to assure that radiological effects of an incident are completely monitored for the protection of the public. These other organizations include the Department of Energy (DOE), the Environmental Protection Agency (EPA), the Department of Health and Human Services (HHS), and State agencies. DOE will coordinate radiological monitoring operations of these organizations and will correlate the data from such operations at or near the site under terms of the Federal Radiological Monitoring and Assessment Plan. All organizations will thus be able to draw from the same pool of correlated data.

Table 3 summarizes the extent of the NRC interface with organizations other than licensees. The purpose of the table is to alert other organizations to the need to identify appropriate contacts for each kind of interface.

Different kinds of interface may require different contacts. Immediate notification is a one-time action, for example, but technical assistance, which means any kind of help other than a brief explanation of an incident, may require nearly continuous information exchange. The table shows that NRC will be ready to offer technical assistance to DOE and State agencies, among others, as early as the NRC Standby mode. NRC will periodically verify each contact as part of the implementing procedures for this plan.

4 REFERENCES

(1) Federal Emergency Management Agency, "Federal Radiological Emergency Response Plan," published in 50 FR 46542, November 8, 1985.

BEST COPY AVAILABLE

(2) Code of Federal Regulations, Title 10, Chapter 1, Part 50, Section 72, and Part 73, Section 71, General Services Administration, revised January 1980. Available from Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.

(3) U.S. Nuclear Regulatory Commission and Federal Emergency Management Agency, "Criteria for Preparation and Evaluation of Radiological Emergency Response Plans and Preparedness in Support of Nuclear Power Plants," USNRC Report NUREG-0654, Rev., 1, FEMA-Rep-1, November 1980. Available from GPO Sales Program, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555. This document has been endorsed by NRC Regulatory Guide 1.101.

(4) U.S. Nuclear Regulatory Commission, "Functional Criteria for Emergency Response Facilities," USNRC Report NUREG-0696, February 1981. Available from GPO Sales Program, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555.

(5) U.S. Nuclear Regulatory Commission, "Agency Procedures for the NRC Incident Response Plan," USNRC Report NUREG-0845, February 1983. Available from GPO Sales Program, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555.

5. LIST OF ACRONYMS

AEOD	Office for Analysis and Evaluation of Operational Data
CFA	Cognizant Federal Agency
DOE	Department of Energy
DOS	Department of State
DOT	Department of Transportation
DSO	Director of Site Operations
EDO	Executive Director of Operations
ENS	Emergency Notification System
EOF	Emergency Operations Facility
EPA	Environmental Protection Agency
ET	Executive Team
FBI	Federal Bureau of Investigation
FEMA	Federal Emergency Management Agency
FRMAP	Federal Radiological Monitoring and Assessment Plan
FRERP	Federal Radiological Emergency Response Plan
HHS	Department of Health and Human Services
HPN	Health Physics Network
HQ	Headquarters
IRC	Incident Response Center (Region)
NMSS	Office of Nuclear Material Safety and Safeguards
NRR	Office of Nuclear Reactor Regulation
NRC	U.S. Nuclear Regulatory Commission
RES	Office of Nuclear Regulatory Research
TSC	Technical Support Center

BEST COPY AVAILABLE

Table 3 NRC Interfaces with Other Organizations
(except licensee)

	NRC Outputs To Organization			Expected Inputs To NRC	
Organization	Immediate Notification	Periodic Status Reports	Technical Assistance	Periodic Status Reports	Technical Assistance
DOE	S,I,E	S,I,E	S,I,E	S,I,E	S,I,E
DOT*	S,I,E	S,I,E	S,I,E	S,I,E	S,I,E
FEMA	S,I,E	S,I,E	I,E	S,I,E	I,E,
EPA	S,I,E	S,I,E	I,E,	I,E,	I,E,
HHS	S,I,E	S,I,E	I,E,	I,E,	I,E,
FBI**	S,I,E	S,I,E	S,I,E	S,I,E	S,I,E
Congress	I,E,	I,E,			
White House	S,I,E	I,E,			
State	S,I,E	S,I,E	S,I,E	I,E,	I,E,
Consultants***			S,I,E		S,I,E
Public, media		S,I,E		S,I,E	
International	S,I,E	S,I,E	S,I,E	S,I,E	I,E

Note: S - during Standby
I - during Initial Activation
E - during Expanded Activation

* Transportation Only
** Safeguards Only
*** Industry advisors, plant vendors, contractors

BEST COPY AVAILABLE

NRC FORM 335 (2-84) NRCM 1102, 3201, 3202

U.S. NUCLEAR REGULATORY COMMISSION

BIBLIOGRAPHIC DATA SHEET

SEE INSTRUCTIONS ON THE REVERSE.

1. REPORT NUMBER (Assigned by TIDC, add Vol. No., if any)

NUREG-0728, Rev. 2

2. TITLE AND SUBTITLE

NRC INCIDENT RESPONSE PLAN

3. LEAVE BLANK

4. DATE REPORT COMPLETED

MONTH	YEAR
May	1987

5. AUTHOR(S)

6. DATE REPORT ISSUED

MONTH	YEAR
June	1987

7. PERFORMING ORGANIZATION NAME AND MAILING ADDRESS (Include Zip Code)

Office for Analysis and Evaluation
of Operational Data
U.S. Nuclear Regulatory Commission
Washington D.C. 20555

8. PROJECT/TASK/WORK UNIT NUMBER

9. FIN OR GRANT NUMBER

10. SPONSORING ORGANIZATION NAME AND MAILING ADDRESS (Include Zip Code)

Office for Analysis and Evaluation of Operational Data
U.S. Nuclear Regulatory Commission
Washington D.C. 20555

11a. TYPE OF REPORT

b. PERIOD COVERED (Inclusive dates)

12. SUPPLEMENTARY NOTES

13. ABSTRACT (200 words or less)

The Nuclear Regulatory Commission (NRC) regulates civilian nuclear activities to protect the public health and safety and to preserve environmental quality. An Incident Response Plan had been developed and has now been revised for the second time to reflect current Commission policy. NUREG-0728, Rev. 2 assigns responsibilities for responding to any potentially threatening incident involving NRC licensed activities and for assuring that the NRC will fulfill its statutory mission. Revision 2 was necessary to reflect organizational changes.

14. DOCUMENT ANALYSIS - a. KEYWORDS/DESCRIPTORS

Incident Response
Radiological Emergencies
Emergency Response
Nuclear Accidents

b. IDENTIFIERS/OPEN-ENDED TERMS

15. AVAILABILITY STATEMENT

Unlimited

16. SECURITY CLASSIFICATION

(This page) Unclassified

(This report) Unclassified

17. NUMBER OF PAGES

18. PRICE

BEST COPY AVAILABLE